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PATENT APPLICATION SERIAL NO. _____

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
FEE RECORD SHEET

11/19/2 3 HMARZ11 00000076 10712993

01 FC:1001	770.00	OP
02 FC:1201	172.00	OP
03 FC:1999	80.00	OP

Adjustment date: 12/05/2003 SLUANG1
11/19/2003 HMARZ11 00000076 10712993
03 FC:1999 -80.00 OP

12/05/2003 SLUANG1 00000042 061205 10712993

01 FC:1201	178.00	DA	80.00	OP
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Adjustment date: 03/23/2004 SDIRETA1
12/05/2003 SLUANG1 00000042 061205 10712993
01 FC:1201 178.00 CR -80.00 OP

03/23/2004 SDIRETA1 00000007 061205 10712993

01 FC:1201	6.00	DA	80.00	OP
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PTO-1556
(5/87)

Dep't Ref # 307

STATUS: PENDING
BRANCH

03500.017724

PATENT APPLICATION

230 MAR 10 AM 10:45



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

MISUHIRO SUGETA

Application No.: 10/712,993

Filed: November 17, 2003

For: IMAGE READING APPARATUS

)
:
Examiner: Not Yet Assigned
)
:
Group Art Unit: NYA
)
:
)
:
)
:
)
March 5, 2004

COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, VA 22313-1450

REQUEST FOR REFUND

Sir:

In connection with the above-identified application, Applicant requests a refund of \$178.00 for claims in excess of twenty, which were erroneously charged to our Deposit Account 06-1205. It is requested that the refund be applied as a credit to that Deposit Account. The reason for the refund is explained below.

On November 14, 2003, Applicant submitted a Utility Patent Application Transmittal (see attached copy of the Transmittal and a postcard acknowledging receipt of the documents and filing fee). The Transmittal paid for 20 claims and 6 independent claims. No additional claims fee were due at the time.

Applicant's attorneys received a Monthly Statement of Deposit Account,
dated December 2003, (copy attached) indicating that Deposit Account No. 06-1205 was
charged \$178.00. It is respectfully submitted that this charge is not warranted.

Accordingly, Applicant hereby requests a refund and authorizes the
Commissioner to credit Deposit Account No. 06-1205 in the amount of \$178.00 to resolve
this matter.

Applicant's undersigned attorney may be reached in our New York office by
telephone at (212) 218-2100. All correspondence should continue to be directed to our
below listed address.

Respectfully submitted,



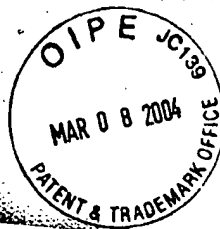
Attorney for Applicant

Registration No.

24,613

FITZPATRICK, CELLA, HARPER & SCINTO
30 Rockefeller Plaza
New York, New York 10112-3801
Facsimile: (212) 218-2200

NY_MAIN 411720v1



STATUS AND ENTRY
BRANCH

2004 MAR 10 AM 10:40

Mail stop: new Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Date: 11 / 17 / 03
Mo. Day Yr.

Atty. Docket 03500.017724

Sir:

Kindly acknowledge receipt of the accompanying:

- ☒ Specifications, claims and abstract 37 pages, with Transmittal Form
☒ Patent Application Bibliographic Data Sheet 2 sheets
☒ Executed Oath or Declaration and Power of Attorney
☒ 9 Sheets of formal informal drawings
☒ Check for \$ 1,022 (filing fee)
☐ Request for Continued Examination and Check for \$
☒ Assignment, PTO-1595 and Check for \$ 40.00
☐ Transmittal Under 37 CFR 1.53(d) (CPA)
☐ Petition under 37 CFR 1.136 and check for \$
☐ Other (specify)

03917 U.S. PTO
10/712993



111703

by placing your receiving date stamp hereon and mailing or returning to deliverer.

This is a ☐ Continuation ☐ Divisional ☐ Continuation-In-Part

Atty. JAK/AMG

Due Date 11 / 22 / 03
Mo. Day Yr.

37 CFR 1.8 ☐

37 CFR 1.10 ☐

By Hand ☒

FORM-A-00



UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	03500.017724
First Named Inventor or Application Identifier	
MITSUHIRO SUGETA	
Express Mail Label No.	

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

1. ☐ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.

3. ☒ Specification Total Pages

4. ☒ Drawing(s) (35 USC 113) Total Sheets

5. ☒ Oath or Declaration Total Pages

a. ☒ Newly executed (original or copy)

b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)

i. ☐ **DELETION OF INVENTOR(S)**
Signed Statement attached deleting
inventor(s) named in the prior application, see
37 CFR 1.63(d)(2) and 1.33(b).

6. ☒ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer
Program (Appendix)

8. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); or

ii. ☐ paper

c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))

10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)

11. ☐ English Translation Document (if applicable)

12. ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations

13. ☐ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

16. ☐ Other: _____

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____
Prior application information: Examiner _____ Group/Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 06544 (Insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

NAME

Address

City

Country

State

Telephone

Zip Code

Fax



CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c))	8-20 =	0	X \$ 18.00 =	\$ 0.00
	INDEPENDENT CLAIMS (37 CFR 1.16(b))	6-3 =	3	X \$ 84.00 =	\$252.00
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))			\$280.00 =	\$ 0.00
				BASIC FEE (37 CFR 1.16(a))	\$ 770.00
	Total of above Calculations =				\$ 770.00
	Reduction by 50% for filing by small entity (Note 37 CFR 1.9, 1.27, 1.28).				
	TOTAL =				\$ 1,022.00

19. Small entity status

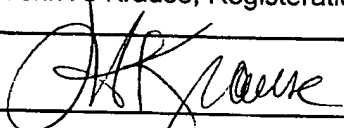
- a. ☐ A small entity statement is enclosed
- b. ☐ A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.
- c. ☐ Is no longer claimed.

20. ☒ A check in the amount of \$ 1,022.00 to cover the filing fee is enclosed.

21. ☒ A check in the amount of \$ 40.00 to cover the recordal fee is enclosed.

22. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 06-1205:

- a. ☒ Fees required under 37 CFR 1.16.
- b. ☒ Fees required under 37 CFR 1.17.
- c. ☐ Fees required under 37 CFR 1.18.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED	
NAME	John A. Krause, Registration No. 24,613
SIGNATURE	
DATE	November 14, 2003



United States
Patent and
Trademark Office



STATUS AND ENTRY
BRANCH

FILED TO MAR 10 40



Deposit Account Statement

Requested Statement Month: December 2003
Deposit Account Number: 061205
Name: FITZPATRICK CELLA HARPER & SCINTO
Attention:
Address: 30 ROCKEFELLER PLAZA
City: NEW YORK
State: NY
Zip: 10112-3801

DATE	SEQ	POSTING REF TXT	ATTORNEY DOCKET NBR	FEE CODE	AMT	BAL
12/01	1	76345290	947.8454A	6004	-\$150.00	\$67,247.0
12/01	35	09461054	A 169.1521	1251	-\$110.00	\$67,357.0
12/01	66	1877193	03134004000	8504	\$30.00	\$67,327.0
12/01	67	2056867	03134004000	8504	\$30.00	\$67,297.0
12/01	96	US20020172512	00050107400EHAUGHEY	8008	\$200.00	\$67,097.0
12/01	179	US20030162690	02213000300EHOLOWITCZ	8013	\$25.00	\$67,072.0
12/01	195	4803081	02244000600FCESARETTI	8010	\$25.00	\$67,047.0
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12/01	203	6020001	01776002700FCESARETTI	8008	\$200.00	\$66,172.0
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12/18 168	29178643	00946006014	8024	\$120.00	\$56,488.0
12/18 169	29178636	00946006009	8021	\$40.00	\$56,448.0
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12/19 73	29183262	21052440JPFORCE	8007	\$720.00	\$55,260.0
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12/22 8	76109880	NOT IN DATA SYSTEM	8521	\$40.00	\$54,820.0
12/22 1349	78344269	303510611	7001	\$335.00	\$54,485.0
12/23 32	10663833	03500.017680	1203	\$280.00	\$54,205.0
12/23 89	10739346	03500.017524	1203	\$290.00	\$53,915.0
12/23 108	0133500188	0252100212PLTRICE	8014	\$50.00	\$53,865.0
12/23 111	0140670390	02521000213PLTRICE	8014	\$25.00	\$53,840.0
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12/29 262	08470293	105181	8009	\$240.00	\$53,368.0
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12/30 71	29178643	00946006014 APFORCE	8023	\$120.00	\$51,863.0
12/30 72	29178635	00946006008-APFORCE	8014	\$25.00	\$51,838.0
12/30 73	29178635	00946006008-APFORCE	8023	\$120.00	\$51,718.0
12/30 74	29178644	00946006013-APFORCE	8014	\$25.00	\$51,693.0
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12/30 124	09513129	35.C14299	1201	\$1,032.00	\$50,541.0
12/30 262	09909916	224.400	1504	\$300.00	\$50,241.0
12/31 3	09570407	035.00.014467	9204	-\$258.00	\$50,499.0
12/31 4	09570407	" "	1201	\$172.00	\$50,327.0
12/31 33	10235814	03500.016717	1201	\$2.00	\$50,325.0
12/31 103	10742834	00862.023386	1201	\$86.00	\$50,239.0
12/31 184	76334255	02649.000T48.	7004	\$150.00	\$50,089.0

START
BALANCE
\$67,097.00

SUM OF
CHARGES
\$22,374.00

SUM OF END
REPLENISH BALANCE
\$5,366.00 \$50,089.00

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CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c))	8-20 =	0	X \$ 18.00 =	\$ 0.00
	INDEPENDENT CLAIMS (37 CFR 1.16(b))	6-3 =	3	X \$ 84.00 =	\$252.00
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))			\$280.00 =	\$ 0.00
				BASIC FEE (37 CFR 1.16(a))	\$ 770.00
			Total of above Calculations =		\$ 770.00
	Reduction by 50% for filing by small entity (Note 37 CFR 1.9, 1.27, 1.28).				
TOTAL =					\$ 1,022.00

19. Small entity status

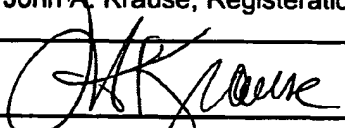
- a. ☐ A small entity statement is enclosed
- b. ☐ A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.
- c. ☐ Is no longer claimed.

20. ☒ A check in the amount of \$ 1,022.00 to cover the filing fee is enclosed.

21. ☒ A check in the amount of \$ 40.00 to cover the recordal fee is enclosed.

22. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 06-1205:

- a. ☒ Fees required under 37 CFR 1.16.
- b. ☒ Fees required under 37 CFR 1.17.
- c. ☐ Fees required under 37 CFR 1.18.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED	
NAME	John A. Krause, Registration No. 24,613
SIGNATURE	
DATE	November 14, 2003